This is not:

- A statewide standard or policy
- Meant to supersede any policies or practices currently in place at any department
- Appropriate for use with rank-and-file employees; for managing performance of rank-and-file employees, departments must adhere to the appropriate [Memoranda of Understanding](#)

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According to Dr. Frank L. Schmidt and Dr. John E. Hunter, a superior employee at the 84th percentile (one standard deviation away from the norm) is considerably more productive than an average employee. The difference can be quantified in dollars. On average – superior employees are 40 percent of salary more productive.

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An Individual Development Plan (IDP) is

- A clear statement of a Leader's career goals and objectives for achieving those goals
- A map for attaining goals that specifies immediate and long-range training/developmental needs
- An individually-tailored action plan to develop specific competencies (knowledge and skills) needed to improve performance in present position or to prepare for new responsibilities
- A written plan for scheduling and managing a Leader's development
- A tool for an Evaluator to estimate resources needed for Leader development training
- An agreement between the Leader and Evaluator based on funds available to meet the Leader's and the organization's goals
- A tool for an organization to develop its workforce to meet future workforce planning needs

What is the purpose of the IDP?

We encourage all Leaders to grow in their present positions or progress to new ones. To do this effectively, a realistic action plan is needed. An IDP can be a useful tool to help plan a career, guide development and assess progress toward career goals and objectives.

What are the benefits to Leaders and Evaluators?

IDPs shall provide meaningful training plans that will help the Leader and the Evaluator:

- Perform duties according to established job expectations
- Improve job-performance
- Set reasonable goals
- Assess job-related strengths and weaknesses
- Schedule, plan, and implement individual development annually
- Aid in the development of Leaders to achieve the knowledge, skills and competencies according to their performance expectations
- Accurately document the current developmental needs of Leaders
- Consider the unit's and/or agency's organizational needs, mission changes, changes in technology, expected turnover, staffing needs, program plans and future needs for particular skills

To benefit from an IDP, the Leader must be involved and make a serious commitment to the future of his/her career. It may take several hours of his/her time, but it is an effort that should later prove to be well worth the investment.

Process

The IDP process is a continuing cycle of planning, implementation, and evaluation between a Leader and Evaluator, for the mutual benefit of both the Leader and the organization. The IDP process requires time for both the Evaluator and Leader to:

- Analyze job requirements
- Assess current competencies
- Make informed decisions about training/developmental needs

The critical factors throughout all phases of the IDP process are interactive and effective communication between the Leader and Evaluator. For the IDP process to be effective and meaningful, each phase should be approached as a joint endeavor.

Tools

There are tools available determining job requirements. One tool that is readily accessible is the job description (here's a sample for a first level supervisor). Classification specifications, the Leadership Competency Model, occupational analysis (O*Net), strategic plans, and performance expectations, can also contribute to defining job requirements.

Phases

The IDP process may consist of five phases and is part of the larger Performance Management Cycle

1. Pre-discussion Planning
2. Evaluator/Leader Discussion
3. Selecting Optimum Training/Developmental Activities
4. Preparing the IDP
5. Implementing the IDP… "follow up and follow through"

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The Famous STD 637 – Individual Development Plan/Performance Appraisal Summary
http://www.documents.dgs.ca.gov/osp/pdf/std637.pdf

Sample First Level Supervisor Performance Evaluation, Development Plan using the Leadership Competency Model
http://www.dpa.ca.gov/staging/publications/performance-management-guide/sample-performance-evaluation-first-level-supervisor-instructions.pdf

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Best Practice Guidelines Memo for Selecting Training

Leadership Competency Development Guides

Here are sample training solutions for competencies/soft skills for leaders.

Fostering a Team Environment

Communication

Conflict management

Interpersonal skills

Team leadership

Promoting a High Performance Culture

Developing others

Fostering diversity

Workforce management

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SMART stands for objectives that are:

S – Specific

M – Measurable

A – Achievable and aligned

R – Realistic

T – Timely

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How to give and receive feedback

Giving and receiving feedback is a way of doing business; it should be woven into the fabric of the organization on a daily basis. It contributes to building a high performance culture. All Leaders generally want and need ongoing feedback on their performance. Leaders are interested in knowing how well they are doing in relation to what is expected of them by their Evaluators. Leaders also want the opportunity to give feedback, ideas and suggestions of their own.

Designing effective feedback into a performance management program improves individual and team performance and makes your organization more effective. With an effective feedback process, Leaders who see their progress are motivated to reach their performance goals.

Why give feedback?
Effective and timely feedback during the performance evaluation period is an essential component of a successful performance management program. If Leaders need to improve their performance, the sooner they find out about it, the sooner they can correct the problem. If they have reached or exceeded a goal, the sooner they receive positive feedback, the more rewarding and reinforcing it is to them.

Leaders should be comfortable asking their Evaluators for feedback as they try new things and accomplish their developmental activities and performance objectives.

However, all too often we forget to give feedback as we "assume" others know what we are thinking.

Evaluators are encouraged to provide ongoing, objective feedback as a way to:

- Show appreciation
- Acknowledge and reinforce good performance
- Provide "course corrections"
- Keep Leaders satisfied with their job which increases retention
- Increase Leaders' confidence in what they are doing

A primary motivator for many Leaders is realizing that they can make a difference in the work they are doing for the organization and the public. Giving Leaders feedback provides an opportunity for them to understand how to make that difference for the organization and the people they serve. It also serves as a model on how they should interact with their own staff.

What are sources of feedback?
Feedback can come from many different sources:

- Observations by other managers and evaluators
- Data
- Feedback from peers
- Input from customers

It is up to the Evaluator to determine how best to gather the information, and from which sources, to ensure timely and relevant feedback and a fair final rating of the Leader.

"Feedback is the breakfast of champions!" –Ken Blanchard

How do I give effective feedback?
Deliver feedback in a way the Leader can understand. Here are some suggested guidelines for giving effective feedback, regardless of whether it is positive or negative.

Be timely and specific.
Provide feedback when it happens and focus on specific factual data.

- Less effective: The project management report you submitted four months ago was poorly written.
- More Effective: The project management report you submitted yesterday needs a table of contents and additional data to support your recommendations.
- Less effective: Great job on that presentation!
- More effective: Great job on the presentation you gave this morning. You were enthusiastic and had excellent examples that clarified your key points. Staff will have an easier time implementing the process because of your work.

Be straightforward and avoid words like "always" or "never."
- Less effective: "You never meet deadlines."
- More effective: "I did not receive the Franklin Report on Friday when it was due."
- Reference the impact of the behavior on you, the team, the job, and/or organization.

- Less effective: "You really let us down."
- More effective: "Because you missed the grant proposal deadline, our department cannot compete for the $100,000 grant."

Focus on behavior; not on personality, motivation, or attitudes.
- Less effective: "You have a bad attitude."
- More effective: "You missed three staff meetings this week."

Give at the appropriate time and in the appropriate setting.
- Feedback is most useful if given at the earliest opportunity after the behavior occurred. If corrective, be sure to give in private. Excellent feedback given at the wrong time may do more harm than good. Consider the person's style. Not everyone likes public praise.

Avoid "dumping."
- Avoid saving up all your feedback and giving it all at once. Consider the needs of the other person.

Ensure understanding.
- If appropriate, you might ask the recipient to paraphrase what you said. If you give sensitive information, it may be distorted.

Listen to the other person's side.

Stay positive.
- Provide feedback in a calm, positive manner as people respond better to information presented in a positive way. This is not to say that information should be sugar-coated, but present accurate, factual, and complete feedback. Reinforce what the Leader did well and then identify what the Leader needs to do in the future to improve his/her performance.

Be part of the solution.

How do I give positive feedback?
Giving feedback includes acknowledging Leaders when they have performed well. The most reliable form of positive feedback is praise and recognition from the Evaluator. Positive feedback should include things the Leader is doing well and the positive effect on the organization.

Evaluators should look for chances to praise good performance, or in the word of Ken Blanchard, "Catch people doing something right."

How do I make corrective feedback a learning experience?
Providing corrective feedback is one way an Evaluator can help Leaders correct their deficiencies, learn, clarify expectations, and provide resources to improve performance. While Evaluators should keep the guidelines for providing feedback in mind, below are some specific recommendations to deliver corrective feedback:

Address the Leader's actions or behaviors as soon as possible
- The experience that brought about the need for corrective feedback should be fresh in the mind of the Leader. If the Leader knows that something was performed incorrectly, then he/she worries about what

will happen consequently, thus possibly impacting morale and productivity. Relieve the tension as quickly as possible by recognizing the mistake, and give feedback as an act of kindness will help everyone move in a positive direction. This prevents surprises at the end of the evaluation period.

Address specific behavior
- Be as specific as possible about the behavior that you want changed. Avoid discussions about Leader's attitudes or perceptions of intent. If a Leader appears to be mad or solemn during staff meetings, do not tell the Leader to improve his/her attitude. Rather, inform the Leader of the behavior that was observed, and advise the Leader that he/she is expected to voice his/her concerns and ideas during meetings. Keep the feedback business oriented and professional. Keep emotions out of the discussion.

Get the Leader's side of the story
- Find ways to encourage the Leader to share his/her side of the situation. Ask how to avoid it next time. You may find that your analysis of the situation is different from the Leader's perspective so it is important to hear it. If the Leader does not accept your view, the Leader may not accept your feedback either. Gathering information from the Leader may decrease their resistance to accept your feedback.

Ask for a plan to change
- Explore alternative ways for the Leader to handle the situation or job task and correct the problem. To accomplish this, ask the Leader if the approach selected is achieving the intended results. If not, together search out alternative behavior that offers an increased probability of success for the future. Ask how you can help.

Concentrate on the lesson to be learned
- For many people, mistakes are often made once and are never made again. The important thing to concentrate on is what did the person learn from the performance issue and how it will be prevented from happening again.

And what about receiving feedback?
Equally as important as giving feedback is the ability to receive feedback on job performance. This holds true whether you are the Evaluator or the Leader. It is critical to model the behaviors you want from them. However, receiving feedback (at least on areas to improve) can be difficult. Here are some suggested tips:

Welcome constructive feedback.
Let others know that you want feedback. You cannot improve as an Evaluator unless you are aware how your own behaviors might be helping or hindering effective performance discussions. During your initial performance discussion, you may want to review the basic principles of giving and receiving effective feedback and tell you Leader that you want to know at least two ways you can improve as an Evaluator at each progress review meeting.

Listen carefully.
- Listen to what the person giving feedback has to say – don't interrupt.
- Take it professionally, not personally. Avoid being defensive or trying to justify your position.

this is just a guide, not policy... please consult with your HR professional   Page 6

- It is appropriate to share your feelings about the feedback, but be sure not to become defensive and start telling the Leader why his/her feedback is wrong. Arguing, justifying your position, or denial are all negative emotions, making the conversation more of a challenge. Your goal is to better understand the issue or behavior at hand that was perceived as "needing to change."

Look for examples.
- Seek examples of the behavior at issue to help you understand the other person's perspective. Ask questions such as "Can you tell me more?" "Can you share an example of when this occurred?" Draw the person out.

Summarize.
Summarize in your own words what the giver of the feedback is saying. This helps check for misunderstandings.

Evaluate feedback before responding.
It can be difficult to receive feedback on your own performance. But is the person sharing something you would benefit from knowing? Do they have a point?

Make your own choice on how to use the feedback.
Feedback can be a gift allowing you to grow and develop in your job. Some feedback can be useless.

Thank the person.
Remember, this person cared enough to share feedback with you.

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Government Codes
"The Department" = Department of Personnel Administration

19992.8. After consultation with appointing powers and other supervising officials the department shall assist and encourage state agencies to establish standards of performance for managerial employees and may provide training in developing performance appraisal systems. Such standards shall be mutually developed by managerial employees and their appointing powers. These standards shall be based on individual and organizational requirements established, in writing, for the reporting period. The reporting period shall be no more than 12 months from the date of the last report following the end of the employee's probationary period.

19992.9. The system of performance appraisal reports shall be designed by managerial employees and their appointing powers to permit the evaluation by appointing powers of each employee's work performance as accurately and fairly as is reasonably possible. The evaluation shall be set forth in a written performance appraisal report, the form for which shall be approved by the department. The department may investigate administration of the system and enforce adherence to appropriate standards.

19992.10. Appointing powers shall prepare performance appraisal reports and keep them on file as prescribed by department rule. The rules shall provide that managerial employees be shown the

performance appraisal report covering their own service and are privileged to discuss it and sign it with the appointing power before it is filed. The extent to which the reports shall be open to inspection by the public shall be prescribed by department rule.

19992.11. Performance reports shall be considered, in the manner prescribed by department rule, <u>for purposes of employee development, in determining salary increases and decreases, the order of layoffs, the advisability of transfers, demotions, and dismissals.</u> Performance reports shall be considered in promotional examinations in the manner prescribed by State Personnel Board rule. On or before July 1, 1988, performance appraisal reports for managers shall be used to award merit salary increases on a flexible basis so that each such employee may receive up to a 10-percent increase provided that this does not increase the employee's salary beyond the highest step of the range for the class of position occupied by the employee. The total amount awarded by the appointing power for merit salary increases through this practice shall not exceed the amount which otherwise would be available under current methods.

19992.12. The department may establish rules under which records of unsatisfactory service may lead to reduction in class and compensation, and providing for the manner in which persons falling below the standards of efficiency may be removed from their positions by the appointing powers, substantially as in the case of removals for cause.

19992.13. The department shall establish a procedure whereby a managerial employee may appeal his or her performance appraisal report to the appointing power. At a minimum, these procedures shall permit appeals on the basis that the performance appraisal report was used to abuse, harass, or discriminate against the employee.

19992.14. <u>Each state agency shall establish a system of performance appraisal reports</u> which shall form the basis for awarding merit salary increases to managers on or before July 1, 1988. Any agency which fails to establish such a system on or before July 1, 1988, shall forfeit 50 percent of merit salary funds otherwise available for eligible managerial employees during that fiscal year. Any agency which fails to establish such a system on or before July 1, 1989, shall forfeit 75 percent of merit salary funds otherwise available for eligible managerial employees during that fiscal year. <u>Any agency which fails to establish such a system on or before July 1, 1990, shall forfeit all merit salary funds otherwise available for eligible managerial employees during that fiscal year, and during each subsequent fiscal year during which such a system is not established</u>.

19995.
(a) <u>The department shall devise plans for and cooperate with appointing powers and other supervising officials in the conduct of employee training programs so that the quality of service rendered by persons in the state civil service may be continually improved.</u>
 (b) If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, <u>the memorandum of understanding shall be controlling</u> without further legislative action, except that if such provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.

19995.1. For the purpose of meeting the needs of the state service for continuing employee educational development, the upgrading of employee skills, and improving productivity and quality service, the department may prescribe regulations and conditions for the administration of this chapter. The conditions prescribed by the department may include, but not be limited to, the requirements that the training shall be cost-effective, of value to the state, and relevant to the employee's career development in state service. The department may further prescribe the conditions under which an employee may be required to reimburse the state for the costs of
Out-service training in the event he or she fails to remain in state service for a reasonable time after receiving the training.
If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, the memorandum of understanding shall be controlling without further legislative action, except that if the provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.

19995.2.
(a) To such extent as practicable and within available resources for this purpose, the appointing power shall arrange for such counseling and training of employees as may be reasonably needed to prepare them for placement in other state civil service positions when their positions have been or are about to be changed substantially or eliminated by automation, technological changes, or other management-initiated changes and the department shall devise plans for and cooperate with appointing powers and other supervising officials in the administration of counseling, training, and placement programs for employees so affected.
(b) If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, the memorandum of understanding shall be controlling without further legislative action, except that if such provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.

19995.4.
(a) The department shall devise plans for, and cooperate with appointing powers in the conduct of, supervisorial employee training programs so that the quality of supervisorial services rendered by persons in those positions may be continually improved.

(b) Each supervisorial employee, upon the employee's initial appointment to a designated supervisory position, shall be provided a minimum of 80 hours of training, at least 40 hours of which shall be structured and be provided by a qualified instructor. The training shall consist of the role of the supervisor, techniques of supervision, planning, organizing, staffing and controlling, performance standards, performance appraisal, affirmative action, discipline, labor relations, employment law relating to persons with disabilities, and grievances. Every supervisor shall have access to a copy of each bargaining agreement covering the employees he or she supervises. The additional 40 hours of training may be provided on-the-job by a qualified higher level supervisor or manager.

(c) The entire 80 hours of training shall be completed within the term of the probationary period or within 12 months of appointment to a supervisorial classification. The training shall be completed within the term of the probationary period unless it is demonstrated that to do so creates additional costs or that the training cannot be completed during the probationary period due to the limited availability of training courses.